

RECORDS MAINTENANCE

File Numbers for Correspondence

APPROVAL/TRANSMITTAL

This section has been revised to reflect changes in the IG manual sections. This supersedes IG-2141, dated May 1996. Remove and destroy previous editions.

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ROGER C. VIADERO  
Inspector General

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This section provides policy and procedures for classifying and filing documents which do not relate to individual audits or investigations.

A. POLICY. Correspondence and other documents which do not relate to individual audits and investigations will be classified and filed in accordance with the file numbers and subjects listed in exhibit A. Changes to the system must be approved by the Director, RMD.

B. RESPONSIBILITIES

1. All Employees

a. Assign file numbers to correspondence and other documents which do not relate to individual audits or investigations using the numerical system provided in exhibit A.

b. Refer proposed subject or number changes to the Director, RMD, through supervisory channels, stating the reason for the change.

2. Director, RMD

a. Receive and evaluate proposed changes to exhibit A.

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b. Coordinate with other OIG offices as necessary before accepting or rejecting proposed changes.

c. Ensure that all accepted changes are consistent with the outline in IG-1113, exhibit A.

3. OIG Managers - Ensure that OIG administrative files in your area of responsibility are properly maintained in accordance with the numerical system outlined herein.

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FILE NUMBERS FOR CORRESPONDENCE

Following is an outline for reference only. See the pages that follow for specific correspondence numbers.

<u>Series</u>	<u>Subject</u>
1000	GENERAL ADMINISTRATION
1100	Indexes, Contents, and Directives
1200	Organization of OIG
1300	General Management and Authorizations
1400	Information Services
1500	External Relations
1600	Jurisdiction
2000	PROPERTY AND RECORDS MANAGEMENT
2100	Records Management, Creation, and Disposition
2200	Forms Management
2300	Reports Management
2400	Communications Management
2500	Information Resources Management
2600	Procurement Management
2700	Real Property Management
3000	PERSONNEL MANAGEMENT
3200	General Personnel Provisions
3300	Employment
3400	Employee Performance and Utilization
3500	Position Classification, Pay, and Allowances
3600	Attendance and Leave
3700	Employee Relations
3800	Employee Benefits (except Retirement)
3900	Miscellaneous Personnel Matters
4000	BUDGET AND FISCAL SERVICES
4100	Budget
4700	Travel and Transportation
4800	Fiscal - General
5000	(Reserved)
6000	PROGRAM MANAGEMENT
6100	OIG Headquarters Management
6300	Audit Program Management
6400	Investigative Program Management
6500	Internal Inspection Program
6600	Management Improvement

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<u>Series</u>	<u>Subject</u>
7000	AUDITS
7200	Audit Process - General Requirements
7300	Audit Process
7500	Non-Federal Audits
8000	INVESTIGATIONS
8001-99	Investigative Instructions
8100	Investigative Controls
8200	Principles of Investigation
8400	Investigative Techniques
8500	Legal Procedures and Aspects
8600	Investigative Reports
8700	Protective Operations and Physical Security
9000	AUDITS AND INVESTIGATIONS - GENERAL
9100	Audit/Investigation Operational Matter

SERIES 1000 - GENERAL ADMINISTRATION

1100 INDEXES, CONTENTS, AND DIRECTIVES - Index and contents changes, Master Outline, OIG Directives Management Program, and USDA Departmental Regulations. (File correspondence relating to the preparation and revision of audit guides and bulletins in 7200 and relating to investigative instructions in 8000.)

1200 ORGANIZATION - OIG Headquarters - Organizational structure of OIG headquarters elements.

1250 ORGANIZATION - OIG Regional and Suboffices - Establishment and organizational structure of OIG regional offices and suboffices.

1300 GENERAL MANAGEMENT AND AUTHORIZATIONS - Authorizations and delegations of authority, administrative authorities, and signature authority.

1320 COMMITTEES AND BOARDS - Organization, membership, and formal meetings of committees, boards, commissions, staffs, panels, societies, clubs, associations, councils, and similar groups. Includes minutes. Use also for records pertaining to staff, local, State, regional, and national meetings and conferences (file Audit conferences in 7300), including authority to attend, etc. (Reports, recommendations, and findings of these groups which pertain to administrative functions should be filed under the specific subjects involved.)

1330 MEETINGS - Requests and arrangements for and results of meetings (including ad hoc meetings with all sources), appointments, and luncheons within and outside of OIG.

1340 MISCELLANEOUS CONTACTS/REQUESTS - Notes and memoranda of miscellaneous contacts and requests for information not covered elsewhere.

1350 REPORTS - Preparation and submission of daily reports by OIG special agents and other OIG employees as applicable.

1400 Information Services - General OIG information disclosure not covered elsewhere.

1410 FOIA - General - Freedom of Information Act (FOIA) general policy matters, including overviews, court decisions, legal opinions, and FOIA activity reports.

1411 FOIA - Requests and Releases - Requests from and release of information to the public, including the press, attorneys, private individuals, and individual members of Congress.

1420 PA - General - Privacy Act (PA) general policy matters, including overviews, court decisions, legal opinions, and PA activity reports.

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1422 PA - OIG Employee Requests - PA requests from and disclosure of information to OIG temporary and permanent employees, former employees, and applicants for employment.

1423 PA - USDA Employee Requests - PA requests from USDA employees (except OIG).

1424 PA - Public Requests - PA requests by individuals other than employees. Includes disclosure for statistical research and reporting, and disclosure which requires special handling (e.g., of sensitive medical data, under compelling emergency circumstances, or pursuant to compulsory legal process).

1425 PA - Computer Matching Reports - Computer matching programs and Office of Management and Budget (OMB) PA guidelines.

1427 RIGHT TO FINANCIAL PRIVACY ACT - Right to Financial Privacy Act (P.L. 95-630).

1430 PUBLICITY MATTERS - General - Contacts with the news media. Includes all informal requests for information and USDA press releases where OIG had input. (File FOIA requests in 1411.)

1432 PUBLICITY MATTERS - Clippings - Press releases, news items, magazine articles, and other published material that mentions OIG directly or indirectly (e.g., Agriculture investigators).

1440 BRIEFINGS AND STAFF ACTIONS - General oral and written briefings about OIG. This includes material for internal and external briefings.

1450 INFORMATION PUBLICATIONS - OIG Newsletter, OIG public relations publications, Management Council Newsletter, ADP applications newsletters, and other similar publications.

1454 INFORMATION MEMORANDUMS - Creation and issuance of headquarters and regional OIG information memorandums.

1455 REPORTS TO THE SECRETARIAT - Official copy of report, working papers, and backup material, if any, for periodic or recurring reports to the Secretary or his or her immediate staff.

1460 SOURCES OF INFORMATION - Cooperative individuals, contact cards and files, grand jury information, records release forms, and criminal history records; requests for investigative and humanitarian assistance in foreign countries through the International Criminal Police Organization (INTERPOL).

1470 INTELLIGENCE - Intelligence matters pertaining to foreign operations, audits, and investigations. (File intelligence matters pertaining to protective operations in 8710.)

1500 EXTERNAL RELATIONS - General - General matters or inquiries not covered in the following listings - 1510 through 1580.

1510 EXTERNAL RELATIONS Intradepartmental - Relations with other USDA agencies and offices not applicable to specific audits or investigations. Fraud, waste, and mismanagement reports.

1514 EXTERNAL RELATIONS - Regulatory Review - Review of existing and proposed regulations relating to USDA programs and operations.

1515 EXTERNAL RELATIONS - Employee Complaints - Complaints or information from a USDA employee concerning possible violations of laws, rules, or regulations or mismanagement, waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety.

1521 EXTERNAL RELATIONS - Executive Office of the President - Executive Office of the President and OMB. Exclude correspondence relating to GAO reports (1540) and to specific audits.

1522 EXTERNAL RELATIONS - Executive Branch Agencies - Other executive departments and agencies. Exclude correspondence relating to specific audits.

1523 EXTERNAL RELATIONS - President's Council on Integrity and Efficiency (PCIE) - PCIE development and implementation of plans for coordinated Government wide activities which attack fraud, waste, and mismanagement in Government programs and operations; standards for the management, operation, and conduct of inspector general-type activities.

1524 EXTERNAL RELATIONS - AIG Forums - Intergovernmental audit forums, committee meeting agenda, minutes, and reports.

1530 EXTERNAL RELATIONS - Congress (General) - Congressional inquiries, congressional liaison, and general congressional material not covered in 1533-1536.

1531 EXTERNAL RELATIONS - OIG Semiannual Report - Includes the official copy of the report, workpapers, backup material, and related correspondence.

1533 EXTERNAL RELATIONS - House - Individual U.S. Representatives and their staffs.

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1534 EXTERNAL RELATIONS - House Committees - House committee reports and correspondence with House committees and staffs. Exclude correspondence transmitting statements of action on GAO reports (1540).

1535 EXTERNAL RELATIONS - Senate - Individual Senators and their staff members.

1536 EXTERNAL RELATIONS - Senate Committees - Senate committee reports and correspondence with Senate committees and staffs. Exclude correspondence transmitting statements of action on GAO reports (1540).

1537 EXTERNAL RELATIONS - Legislative Review - Review of existing and proposed legislation relating to USDA programs and operations.

1540 EXTERNAL RELATIONS - GAO - GAO/USDA relations. Headquarters Audit: For each GAO review applicable to USDA, initiate a separate case file. Identify each case file by fiscal year and sequential number (e.g., 92-10). In each case file, include the GAO reports, statements of action, and all related correspondence.

1560 EXTERNAL RELATIONS - State and Local Agencies - Relations with State and local agencies which are not applicable to a specific audit or investigation.

1570 EXTERNAL RELATIONS - International Groups - Relations with international groups such as 4-H Clubs, Red Cross, United Nations, and foreign agencies groups and Embassy contacts.

1580 EXTERNAL RELATIONS - Audit Liaison (Headquarters Level) - Relations between OIG and agencies outside the Department. (Not covered by other 1500 file numbers.) Includes intergovernmental audit groups, professional associations, and other similar organizations. (Exclude material covered by 7000 series.)

1600 JURISDICTION - Jurisdiction determinations and cooperative agreements between OIG and other USDA agencies and offices, but not involving specific audits or investigations. Use individual case files for agreements.

## SERIES 2000 - PROPERTY AND RECORDS MANAGEMENT

2100 RECORDS MANAGEMENT, CREATION, AND DISPOSITION - Filing systems; creation, maintenance, transfer, and disposition of records; disposal schedules and reports; records surveys; paperwork management; file numbers for correspondence, audit and investigative reports; reference material; index system.

2130 RECORDS SECURITY - Security of paper files, the ADP security program, access to classified material, and security classification of material.



2200 FORMS MANAGEMENT - Proposed new forms or revisions of old forms, forms design, obsolete forms, use of forms, and procurement of forms.

2300 REPORTS MANAGEMENT - Overall reports program in OIG. Does not include data on specific reports which should be filed according to subject matter.

2400 COMMUNICATIONS MANAGEMENT - Standard methods of communications, including mail, facsimile, telephones, and radio communication. (See 2500 for ADP communications.)

2450 DIRECTORIES - Office directories, telephone directories, and mailing lists.

2500 INFORMATION RESOURCES MANAGEMENT - Automatic data processing (ADP) management, applications development, microcomputers, computer operations and performance evaluations, ADP equipment inventories, ADP user groups, word processing (WP) management, WP operating procedures, WP training, micro-graphics management, data communications, computer message transmission, data base management, data dictionaries, documentation standards, programming languages, data representations, ADP security plan, ADP contingency plan, risk analysis.

2600 PROCUREMENT MANAGEMENT - General procurement policies and procedures.

2610 PURCHASING - Purchase of supplies, equipment, goods, and services.

2620 CONTRACTING - Procurement contracts.

2630 TRANSPORTATION OF GOODS - Procurement of transportation services, i.e., shipment of equipment, supplies, and household effects, by freight or express. Government Bills of Lading (GBL) (see also 4700).

2640 PRINTING AND DUPLICATING SERVICES - Procurement of reproduction services, including printing, binding, duplicating, and related services.

2700 REAL PROPERTY MANAGEMENT - Space management, including leases, requests for space, and parking spaces; building security. Case files as necessary.

2710 PERSONAL PROPERTY MANAGEMENT - Inventories, documentation relating to the Property Management Information System (PMIS), excess property, and Board of Survey referrals.

SERIES 3000 - PERSONNEL MANAGEMENT

3200 GENERAL PERSONNEL PROVISIONS - Personnel policy, procedures, and programs; personnel management evaluation; and personnel reports, forms, and documents.

3300 EMPLOYMENT - Career and career conditional employment, part-time employment, temporary employment, selective placement programs, veterans readjustment appointments, and position management.

3308 STUDENT EMPLOYMENT - Youth and student employment programs, including the Cooperative Education and Stay-in-School Programs.

3330 RECRUITMENT AND PLACEMENT - Recruitment, selection, reassignment, details, transfers, examining systems, qualification requirements, reduction in force, reemployment rights, and restoration to duty.

3332 EMPLOYEE ORIENTATION - Orientation of newly-hired OIG employees.

3335 PROMOTION - OIG Merit Promotion Plan, including vacancy announcements, promotion panels, selection process, and career ladder promotions.

3400 EMPLOYEE PERFORMANCE AND UTILIZATION - General employee performance information not covered elsewhere.

3410 EMPLOYEE DEVELOPMENT - Formal outside-OIG training, in-house training, on-the-job training, and off-duty training.

3430 PERFORMANCE MANAGEMENT - Performance appraisal for General Schedule (GS), Senior Executive Service (SES), and Performance Management and Recognition System (PMRS) employees.

3451 INCENTIVE AWARDS - Incentive awards, including Spot awards, Time-Off awards, and employee suggestions.

3452 LETTERS OF APPRECIATION - Letters of appreciation and commendation.

3500 POSITION CLASSIFICATION PAY AND ALLOWANCES - Pay rates and systems, pay under the General Schedule, grade and pay retention, within-grade increases, pay administration, and overtime under Title 5 of the United States Code, including availability pay.

3511 POSITION CLASSIFICATION - Classification and management of positions, position classification standards, position descriptions, desk audits, and accretion of duties.

3551 FAIR LABOR STANDARDS ACT (FLSA) - Criteria for determining exemptions to the FLSA and pay administration under the FLSA, including overtime provisions.

3600 ATTENDANCE AND LEAVE - Attendance, absence, and leave including hours of duty, alternative work schedules, and the leave transfer program.

3700 EMPLOYEE RELATIONS - Employee organizations and activities, pre-employment reports, suitability, security clearances, personnel security program, political activity of employees, employee discipline, adverse action, grievances, appeals, voluntary separations, and reductions in rank or pay.

3720 EQUAL EMPLOYMENT OPPORTUNITY (EEO) - General EEO matters, affirmative employment program, informal (counseling) and formal complaint program, civil rights program, special emphasis programs (Federal Women's, Hispanic Employment and Disabled Programs), Historically Black Colleges and Universities initiative/1890's, and Career Enhancement Program.

3790 HEALTH AND FITNESS - Medical qualification requirements, Federal Employees Occupational Health Programs, Employee Assistance Program, Employee Counseling Services Program, drug testing, safety programs, OIG's Health and Fitness Program for Special Agents, and annual physicals for Special Agents.

3800 EMPLOYEE BENEFITS (EXCEPT RETIREMENT) - Federal Employees Health Benefits, Thrift Savings Plan, life insurance, social security, unemployment benefits, and injury compensation including contacts with Office of Workers' Compensation Programs (OWCP) in the Department of Labor.

3831 RETIREMENT - Employee retirement.

3900 MISCELLANEOUS PERSONNEL MATTERS - Miscellaneous personnel matters not covered elsewhere.

3920 SENIOR EXECUTIVE SERVICE (SES) - SES, including position management, staffing, pay, executive development, recognition and incentives, removal, suspension, reduction-in-force, furlough, placement, and executive resource boards.

3950 IDENTIFICATION CARDS - OIG credentials, badges, patches, and building passes.

#### SERIES 4000 - BUDGET AND FISCAL SERVICES

4100 BUDGET - Miscellaneous budget matters not covered elsewhere.

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4111 BUDGET FORMULATION - General budget matters and planning and developing the budget.

4112 BUDGET EXECUTION - Appropriations to OIG, allotments, workplans, operating budgets, and other fiscal matters such as reimbursements, refunds, and payment of invoices.

4700 TRAVEL AND TRANSPORTATION - Travel and common carrier transportation, including authorizations and approvals, special travel provisions, change of official station, preparation and submission of travel vouchers. Also, the responsibilities and procedures for obtaining advances of funds for: (1) official travel and (2) movement of household goods and personal effects upon change of official duty station; per diem allowances, privately-owned vehicle (POV) mileage rates and related provisions of law or regulation including surveys and the accountability and control of transportation requests (TR), reconciliation of TR accountability records, and the preparation and use of TR's. (See also 2630.)

4710 MOTOR VEHICLE TRAVEL - Use of Government-owned or leased vehicles.

4711 CHARGE CARDS FOR TRAVEL - Issuance and use of Government credit cards for official travel.

4713 FOREIGN TRAVEL - Foreign travel plans and activities.

4800 FISCAL-General - Fiscal matters of a general nature that do not relate to OIG budgeted funds. Includes accountability over food stamps and investigative funds.

### SERIES 6000 - PROGRAM MANAGEMENT

6100 OIG HEADQUARTERS MANAGEMENT - OIG headquarters management activities.

6300 AUDIT PROGRAM MANAGEMENT - Development and management of audit programs. Includes audit-related material involving the Consolidated Assignments, Personnel Tracking, and Administrative Information System (CAPTAIN).

6400 INVESTIGATIVE PROGRAM MANAGEMENT - Management of investigative programs. Includes investigative material involving the Consolidated Assignments, Personnel Tracking, and Administrative Information System (CAPTAIN).

6500 INTERNAL INSPECTION PROGRAM - Internal inspection of OIG offices, quality assessment reviews, and vulnerability assessments.

6600 MANAGEMENT IMPROVEMENT - OIG management improvement projects.

### SERIES 7000 - AUDITS

Correspondence and other material related to specific audits will be filed in the audit reports files (see 2100) or in related zero or double-zero files. The following file codes are intended for correspondence, etc., of general applicability. Copies of material related to specific audits may be filed under these codes where there is a need to do so.

7200 AUDIT PROCESS - GENERAL REQUIREMENTS - Audit planning and coordination; transmittal and distribution of audit reports; and other audit management and control topics.

7300 AUDIT PROCESS - Includes audit techniques, and audit reporting.

7500 NON-FEDERAL AUDITS - General non-Federal audit activities.

### SERIES 8000 - INVESTIGATIONS

8100 INVESTIGATIVE CONTROLS - Processing complaints and scheduling investigations; evaluating, acknowledging, and referring complaints; scheduling investigations and assigning priorities; processing Case Opening Memoranda and related OIG forms; handling civil rights complaints and adverse information, and follow-up procedures. Also, case assignments and case management records.

8200 PRINCIPLES OF INVESTIGATION – Pre-investigation planning and supervision; criminal, disciplinary, fiscal, administrative, and civil aspects; scope of investigation; and instructions to agents.

8400 INVESTIGATIVE TECHNIQUES - Interviews, written statements, investigative notes, obtaining and preserving evidence, questioned documents, other physical evidence, techniques requiring clearance (consensual monitoring; electronic tracking; undercover operations; confidential sources of information; mail covers), handling offers of restitution, and statistical sampling.

8470 LAW ENFORCEMENT AUTHORITIES - Authority for making arrests, carrying firearms, and rights for search and seizure.

8500 LEGAL PROCEDURES AND ASPECTS - Evidence, testimony, criminal offenses and court procedures, Federal tort claims and civil court procedures, and subpoenas.

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8600 INVESTIGATIVE REPORTS - Report of investigation and post report action (distribution, transmittal memoranda and envelopes, follow-up and case closing, monetary results, and court action). For significant matters, see 9110.

8700 PROTECTIVE OPERATIONS AND PHYSICAL SECURITY - General information concerning protective operations and physical security not covered elsewhere.

8710 PROTECTIVE OPERATIONS - Protective operations for the Secretary and other principal Department officials, including advance security arrangements for the Secretary to provide personal protection involving threats and escort duties.

8720 PHYSICAL SECURITY - Physical security matters, including equipment accountability, training, and overtime log.

#### SERIES 9000 - AUDITS AND INVESTIGATIONS - GENERAL

9100 Audit/Investigation Operational Matters - General audit/investigation matters not included elsewhere.

9110 SPECIAL REPORTS - Audit or investigative matters requiring prompt action.

9120 COORDINATION OF OPERATIONS - Coordination of audit and investigation operations, and domestic and foreign operations.

9130 COMPLAINTS AGAINST OIG PERSONNEL - Handling of complaints against OIG personnel.

9140 CIVIL RIGHTS - Civil rights activities, including complaints and adverse information not related to a specific case.

9150 OFFENSES AGAINST OIG EMPLOYEES - Assaults or other offenses against OIG employees.

9160 PROGRAM FRAUD CIVIL REMEDIES ACT (PFCRA) - General PFCRA matters; the general handling of false claims and statements under the Act. Exclude correspondence related to a specific PFCRA audit or investigation which should be filed in the applicable audit or case file.

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